

COPY OF PAPER  
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PATENT

#4

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Xiaodong Huang et al.  
APPLICATION NO.: 10/087,408  
FILING DATE: March 1, 2002  
TITLE: QUANTUM DOT VERTICAL CAVITY SURFACE EMITTING LASER  
EXAMINER: Unassigned  
GROUP ART UNIT: 2881  
ATTY. DKT. NO.: 22920-06460

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: June 6, 2002

By: Edward A. Van Gieson

Edward A. Van Gieson, Reg. No.: 44,386

BOX MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION**

SIR:

Responsive to the Notice to File Missing Parts dated March 29, 2002 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☒ an original, signed Power of Attorney;
- ☒ an Application Data Sheet;
- ☒ payment in the amount of \$65.00 for the

06/19/2002 MAHME1 00000014 10087408

02 FC:215

55.00 DP

22920/06460/DOCS/1274281.11

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- ☐ application filing fee;
- ☐ fee for additional claims; and
- ☒ missing parts surcharge.

☐ Other

☒ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,  
XIAODONG HUANG ET AL.

Dated: June 6, 2002

By:   
Edward A. Van Gieson, Reg. No.: 44,386  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: 650-858-7997  
Fax: 650-494-1417

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JUN 14 2002

PTO/SB/21..(modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	10/087,408	
		Filing Date	March 1, 2002	
		First Named Inventor	Xiaodong Huang	
		Group Art Unit Number	2881	
		Examiner Name	Unassigned	
Total Number of Pages in This Submission		17	Attorney Docket Number	22920-06460

## TRANSMITTAL FORM

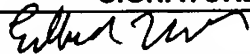
(to be used for all correspondence during pendency of  
filed application)

### ENCLOSURES (check all that apply)

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Check Enclosed</li></ul></li><li><input checked="" type="checkbox"/> Return Receipt Postcard</li><li><input checked="" type="checkbox"/> Response to Notice to File Missing Parts</li><li><input type="checkbox"/> Assignment &amp; Recordation Cover Sheet</li><li><input checked="" type="checkbox"/> Declaration</li><li><input checked="" type="checkbox"/> Power of Attorney</li><li><input checked="" type="checkbox"/> Application Data Sheet</li><li><input type="checkbox"/> Information Disclosure Statement &amp; PTO-1449<ul style="list-style-type: none"><li><input type="checkbox"/> Copies of IDS Cited References</li></ul></li><li><input type="checkbox"/> Request for Corrected Filing Receipt</li><li><input type="checkbox"/> Request for Correction of Recorded Assignment</li><li><input type="checkbox"/> Amendment/Response: [ ] Page(s)<ul style="list-style-type: none"><li><input type="checkbox"/> After Final</li></ul></li><li><input type="checkbox"/> Status Request</li><li><input type="checkbox"/> Revocation and Substitute Power of Attorney</li></ul> | <ul style="list-style-type: none"><li><input type="checkbox"/> Issue Fee Transmittal</li><li><input type="checkbox"/> Letter to Chief Draftsperson</li><li><input type="checkbox"/> Formal Drawing(s):<ul style="list-style-type: none"><li>[ ] Sheet(s) of Figure(s) [ ]</li></ul></li><li><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences</li><li><input type="checkbox"/> Appeal Communication to Group<br/>(Appeal Notice, Brief, Reply Brief)</li><li><input type="checkbox"/> Certified Copy of Priority Document(s)</li><li><input type="checkbox"/> After Allowance Communication to Group</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li></ul> |
|--|---|

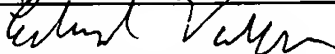
REMARKS:

### SIGNATURE OF ATTORNEY OR AGENT

Signature:		
Attorney/Reg. No.:	Edward A. Van Gieson, Reg. No. 44,386	Dated: June 6, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:		
Typed or Printed Name:	Edward A. Van Gieson	Dated: June 6, 2002
Express Mail Mailing Number (optional):		

JUN 14 2002

PTO/SB/17 (10-01)(modified)  
OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) U.S. Department of Commerce  
Rev. 10/2001 Patent and Trademark Office

# FEE TRANSMITTAL

## TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$ 120.00)

Complete if Known	
Application Number	10/087,408
Filing Date	March 1, 2002
First Named Inventor	Xiaodong Huang
Group Art Unit	2881
Examiner Name	Unassigned
Attorney Docket Number	22920-06460

## METHOD OF PAYMENT

### 1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †
- ☐ Applicant claims small entity status See 37 CFR 1.27

Deposit Account Number: 19-2555  
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:  
☒ Check ☐ Credit Card ☐ Other

## FEE CALCULATION (fees effective 10/01/2001)

### 1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$740	201/\$370	Utility Filing	
106/\$330	206/\$165	Design Filing	
108/\$740	208/\$370	Reissue	
114/\$160	214/\$80	Provisional Filing	
SUBTOTAL (1)			(\$ 0)

### 2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$84	202/\$42	Independent claims in excess of 3
104/\$280	204/\$140	Multiple dependent claim
109/\$84	209/\$42	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

### 3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	65
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	* For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month†	55
116/\$400	216/\$200	Extension for response within second month†	
117/\$920	217/\$460	Extension for response within third month†	
118/\$1,440	218/\$720	Extension for response within fourth month†	
128/\$1,960	228/\$980	Extension for response within fifth month†	
119/\$320	219/\$160	Notice of Appeal	
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	
143/\$460	243/\$230	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$740	279/\$370	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):			
Other fee (specify):			
SUBTOTAL (3)			(\$ 120)

(Col. 1)		(Col. 2)		(Col. 3)		Fee Due	
For	No. of Existing Claims	Highest No. Previously Paid For		Extra**		Fee	
TOTAL	39	20 or 39	=	0	x	0	= 0
INDEP	5	3 or 5	=	0	x	0	= 0
[ ] First presentation of multiple dependent claim							

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$ 0)

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Edward A. Van Gieson	Reg. Number	44,386
Signature		Date	6/6/2002



JUN 14 2002

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/087,408	03/01/2002	Xiaodong Huang	22920-06460

00758  
FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO, CA 94306

CONFIRMATION NO. 6234

## FORMALITIES LETTER

  
\*OC00000007751583\*

Date Mailed: 03/29/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/19/2002 MAHMED1 00000014 10087408

01 FC:205

65.00 OP